Notice of Allowability	Application No.	Applicant(s)
	09/243,101	SUSSER ET AL.
	Examiner	Art Unit
	Tuon A. Vu	2193
	Tuan A. Vu	2193
The MAILING DATE of this communication appears on the cover sheet with the correspondence address All claims being allowable, PROSECUTION ON THE MERITS IS (OR REMAINS) CLOSED in this application. If not included herewith (or previously mailed), a Notice of Allowance (PTOL-85) or other appropriate communication will be mailed in due course. THIS NOTICE OF ALLOWABILITY IS NOT A GRANT OF PATENT RIGHTS. This application is subject to withdrawal from issue at the initiative of the Office or upon petition by the applicant. See 37 CFR 1.313 and MPEP 1308.		
1. This communication is responsive to 4/24/2006.		
2. The allowed claim(s) is/are <u>59, 62-65, 67-73, 75-77, 80-96, 98, 102-105, 107-112, 116-119, 121-126, 130-133, 135-140, 144-147, 149-150 (renum 1-69)</u> .		
3. ☐ Acknowledgment is made of a claim for foreign priority una) ☐ All b) ☐ Some* c) ☐ None of the:  1. ☐ Certified copies of the priority documents have 2. ☐ Certified copies of the priority documents have 3. ☐ Copies of the certified copies of the priority documents have International Bureau (PCT Rule 17.2(a)).  * Certified copies not received:  Applicant has THREE MONTHS FROM THE "MAILING DATE" on the delow. Failure to timely comply will result in ABANDONM THIS THREE-MONTH PERIOD IS NOT EXTENDABLE.  4. ☐ A SUBSTITUTE OATH OR DECLARATION must be submit INFORMAL PATENT APPLICATION (PTO-152) which give 5. ☐ CORRECTED DRAWINGS (as "replacement sheets") must (a) ☐ including changes required by the Notice of Draftspers	been received.  been received in Application No cuments have been received in this rec	national stage application from the complying with the requirements  S AMENDMENT or NOTICE OF tion is deficient.
(a) including changes required by the Notice of Draftsperson's Patent Drawing Review (PTO-948) attached		
1)  hereto or 2) to Paper No./Mail Date		
(b) ☐ including changes required by the attached Examiner's Amendment / Comment or in the Office action of		
Paper No./Mail Date  Identifying indicia such as the application number (see 37 CFR 1.84(c)) should be written on the drawings in the front (not the back) of each sheet. Replacement sheet(s) should be labeled as such in the header according to 37 CFR 1.121(d).		
6. DEPOSIT OF and/or INFORMATION about the deposit of BIOLOGICAL MATERIAL must be submitted. Note the attached Examiner's comment regarding REQUIREMENT FOR THE DEPOSIT OF BIOLOGICAL MATERIAL.		
Attachment(s)  1. ☐ Notice of References Cited (PTO-892)  2. ☐ Notice of Draftperson's Patent Drawing Review (PTO-948)  3. ☐ Information Disclosure Statements (PTO-1449 or PTO/SB/0 Paper No./Mail Date  4. ☐ Examiner's Comment Regarding Requirement for Deposit of Biological Material	6. ⊠ Interview Summary Paper No./Mail Date 8), 7. ⊠ Examiner's Amendm	e <u>7/20/06</u> .
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# **DETAILED ACTION**

1. This action is responsive to the Applicant's response filed 4/24/2006.

As indicated in Applicant's response, claims 59, 69, 77, 87, 95, 109, 123, and 137 have been amended. Claims 59-150 are pending in the office action.

## **EXAMINER'S AMENDMENT**

2. An examiner's amendment to the record appears below. Should the changes and/or additions be unacceptable to applicant, an amendment may be filed as provided by 37 CFR 1.312. To ensure consideration of such an amendment, it MUST be submitted no later than the payment of the issue fee.

Authorization for this examiner's amendment was given in a telephone interview with Forrest Gunnison, Reg. # 32,899 on 7/20/2006.

The application has been amended as follows.

I) In the CLAIMS:

## Claim 59:

AnA computer-implemented method for converting and transforming an application software program comprising: to generate an object-oriented, verifiable, type-safe and pointersafe sequence of instructions-residing on a computer-readable medium, said instructions comprising operation codes and operands, said program sequence of instructions operable to be loaded to and executed by a resource-constrained device, said sequence of instructions previously converted from at least one class file, the method comprising:

(A) analyzing instructions from said at least one class file and any associated references to a constant pool and arithmetic operations having 32-bit operands said conversion; and

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(B) removing said references to the constant pool and transforming said 32-bit operands

based upon said analyzing by:

(i) transforming at least one reference, of at least one of said instructions, to information in a constant pool to data inlined by inlining directly in at least one additional operand to said at least one instruction, wherein said at least one additional operand specifies a data type; or opcode of said at least one of said instructions so that said at least one reference to information in said constant pool is eliminated because accessing said information in any constant pool is unnecessary for said at least one of said instructions;

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(ii) replacing an operation code of another of said instructions, which
accesses an entry in said constant pool to obtain a data type that was any
one of a plurality of data types, with another operation code selected from
a family of operation codes, wherein

(a) each said another operation code in said family is for a different
one of said plurality of data types so that the data type is explicit
for said each said another operation code in said family; and
(b) said another operation code represents said family for said
entry in said constant pool; and

(iii) transforming 32-bit operands for arithmetic operations such that arithmetic instructions are explicitly defined as using 16-bit operands wherein upon execution of said arithmetic instructions by a virtual

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machine on the resource-constrained device, only 16-bit operands are

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loaded onto a stack; and

wherein the instructions formed by replacement and transformation according to (i), (ii),

(iii) are directly executable by the virtual machine on said resource-constrained device without

any other intermediate stage of reconversion or referencing.

Claim 60: (Cancelled)

Claim 61: (Cancelled)

Claim 62:

The methodsoftware program of claim 59 wherein said resource-constrained device is

based on a 16-bit processor architecture.

Claim 63:

(Currently Amended) The methodsoftware program of claim 59 wherein said resource-

constrained device is based on an 8-bit processor architecture.

Claim 64:

The methodsoftware program of claim 59 wherein said resource-constrained device

comprises a random access memory with a capacity of no more than about 64 kilobytes.

Claim 65:

The methodsoftware program of claim 59 wherein said resource-constrained device

comprises a random access memory with a capacity of no more than about 4 kilobytes.

Claim 66: (Cancelled)

Claim 67:

The <u>method</u>software program of claim 59 wherein said resource-constrained device comprises a smart card.

## Claim 68:

The <u>method</u>software program of claim 59 wherein said resource-constrained device comprises an application-specific integrated circuit (ASIC).

## Claim 69:

AnA computer-implemented method for converting and transforming an application software program, comprising: to generate an object-oriented, verifiable, type-safe and pointer-safe sequence of instructions residing on a computer-readable medium, said instructions comprising operation codes and operands, said program sequence of instructions operable to be loaded to and executed by a resource-constrained device, said instructions previously converted from at least one class file, the method comprising:

- (1) analyzing instructions from said at least one class file to identify (a) plurality of instructions that can be collapsed into a single instruction and (b) instructions including arithmetic operations having 32-bit operands; and
- (2) <u>substituting said single instruction for said plurality of instructions that can be</u> <u>collapsed and transforming said 32-bit operands based upon said analyzing by: said instructions comprising</u>
  - (A) substituting at least one composite instruction for performing an operation on a current object, the execution of said at least one composite instruction, on said resource constrained device, generating a result functionally equivalent to a result generated by operations resulting from

sequential execution of two or more other instructions so that said
sequential execution of said two or more other instructions is replaced by
said execution of said composite instruction in said sequence of
instructions executed on said resource constrained device for said plurality
of instructions being collapsed, wherein

(i) a first instruction in said plurality of instructions being
 collapsed is any one of a family of instructions, wherein
 (a) each instruction in said family is for a different one of a plurality of data types so that the data type is explicit for each instruction in said family; and

(ii) a second instruction in said plurality of instructions being

collapsed is not from said family of instructions; and

(B) transforming 32-bit operands for arithmetic operations such that

arithmetic instructions are explicitly defined as using 16-bit operands

wherein upon execution of said arithmetic instructions by a virtual

machine on the resource-constrained device, only 16-bit operands are

loaded onto a stack; and

wherein the instructions formed by substitution and transformation according to (A), (B) are directly executable by the virtual machine on said resource-constrained device without any other intermediate stage of reconversion or referencing.

Claim 70:

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The methodsoftware program of claim 69 wherein said resource-constrained device is based on a 16-bit processor architecture.

# Claim 71:

The methodsoftware program of claim 69 wherein said resource-constrained device is based, on an 8-bit processor architecture.

## Claim 72:

The methodsoftware program of claim 69 wherein said resource-constrained device comprises a random access memory with a capacity of no more than about 64 kilo-bytes.

# Claim 73:

The methodsoftware program of claim 69 wherein said resource-constrained device comprises a random access memory with a capacity of no more than about 4 kilo-bytes.

Claim 74: (Cancelled).

# Claim 75:

The methodsoftware program of claim 69 wherein said resource-constrained device comprises a smart card.

# Claim 76:

The methodsoftware program of claim 69 wherein said resource-constrained device comprises an application-specific integrated circuit (ASIC).

## Claim 77:

A resource-constrained device comprising:

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a virtual machine implemented on a microprocessor, said virtual machine configured to

execute an object-oriented, verifiable, type-safe and pointer-safe sequence of instructions;

and

a memory, coupled to said virtual machine, for storing having stored therein said an application software program comprising an object-oriented, verifiable, type-safe and pointer-safe sequence of instructions, said instructions comprising operation codes and operands, said sequence of instructions previously converted from at least one class file by a method comprising:

- (A) analyzing instructions from said at least one class file and any associated references to a constant pool and arithmetic operations having 32-bit operands, said conversion; and
- (B) removing said references to the constant pool and transforming said 32-bit operands based upon said analyzing by:
  - (i) transforming at least one reference, of at least one of said instructions, to information in a constant pool to data inlined by inlining directly in at least one additional operand or opcode of said at least one of said instructions so that said at least one reference to information in said constant pool is eliminated because accessing said information in any constant pool is unnecessary for said at least one of said instructions; to said at least one instruction, wherein said at least one additional operand specifies a data type;

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(ii) replacing an operation code of another of said instructions, which accesses an entry in said constant pool to obtain a data type that was any one of a plurality of data types, with another operation code selected from a family of operation codes, wherein

> (a) each said another operation code in said family is for a different one of said plurality of data types so that the data type is explicit for said each said another operation code in said family; and

(b) said another operation code represents said family for said entry in said constant pool; and

(iii) transforming 32-bit operands for arithmetic operations such that arithmetic instructions are explicitly defined as using 16-bit operands wherein upon execution of said arithmetic instructions by a virtual machine on the resource-constrained device, only 16-bit operands are loaded onto a stack; and

wherein the instructions formed by replacement and transformation according to (i), (ii), (iii) are directly executable by the virtual machine on said resource-constrained device without any other intermediate stage of reconversion or referencing.

a virtual machine implemented on a microprocessor said virtual machine configured to execute said sequence of instructions.

Claim 78: (Cancelled)

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Claim 79: (Cancelled)

Claim 87:

A resource-constrained device comprising:

a virtual machine implemented on a microprocessor, in said resource-constrained device, said virtual machine configured to execute an application software program; and a memory, in said resource constrained device, for storing having stored therein said an application software program comprising an object-oriented, verifiable, type-safe and pointer-safe sequence of instructions, said instructions comprising operation codes and operands, said instructions previously converted from at least one class file by a method comprising:

- (1) analyzing instructions from said at least one class file to identify (a) plurality of instructions that can be collapsed into a single instruction and (b) instructions including arithmetic operations having 32-bit operands; and
- (2) substituting said single instruction for said plurality of instructions that can be collapsed and transforming said 32-bit operands based upon said analyzing by: said instructions comprising
  - (A) substituting at least one composite instruction for performing an operation on a current object, the execution of said at least one composite instruction, on said resource constrained device, generating a result functionally equivalent to a result generated by operations resulting from sequential execution of two or more other instructions so that said sequential execution of said two or

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more other instructions is replaced by said execution of said composite instruction in said sequence of instructions executed on said resource-constrained device. for said plurality of instructions being collapsed, wherein

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(i) a first instruction in said plurality of instructions being collapsed is any one of a family of instructions, wherein

(a) each instruction in said family is for a different one of a plurality of data types so that the data type is explicit for each instruction in said family; and

(ii) a second instruction in said plurality of instructions being collapsed is not from said family of instructions; and

(B) transforming 32-bit operands for arithmetic operations such that arithmetic instructions are explicitly defined as using 16-bit operands wherein upon execution of said arithmetic instructions by a virtual machine on the resource-constrained device, only 16-bit operands are loaded onto a stack; and

wherein the instructions formed by substitution and transformation according to

(A), (B) are directly executable by the virtual machine on said resource

constrained device without any other intermediate stage of reconversion or

referencing.

Claim 95:

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A method for using an application software program including an object-oriented,

verifiable, type-safe and pointer-safe sequence of instructions, the method comprising:

receiving said software program in a resource-constrained device having a memory <u>and</u>

<u>storing said sequence of instructions therein</u>, said instructions comprising operation codes

and operands, said <u>sequence of instructions</u> previously converted from at least one class

file by a method comprising:

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- (A) analyzing instructions from said at least one class file and any associated references to a constant pool and arithmetic operations having 32-bit operands, said conversion; and
- (B) removing said references to the constant pool and transforming said 32-bit operands based upon said analyzing by:
  - (i) transforming at least one reference, of at least one of said instructions, to information in a constant pool to data inlined by inlining directly in at least one additional operand or opcode of said at least one of said instructions so that said at least one reference to information in said constant pool is eliminated because accessing said information in any constant pool is unnecessary for said at least one of said instructions; to said at least one instruction, wherein said at least one additional operand specifies a data type;
  - (ii) replacing an operation code of another of said instructions, which accesses an entry in said constant pool to obtain a data type

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that was any one of a plurality of data types, with another

operation code selected from a family of operation codes, wherein

(a) each said another operation code in said family is for a

different one of said plurality of data types so that the data

type is explicit for said each said another operation code in

said family; and

(b) said another operation code represents said family for

said entry in said constant pool; and

(iii) transforming 32-bit operands for arithmetic operations such

that arithmetic instructions are explicitly defined as using 16-bit

operands wherein upon execution of said arithmetic instructions by

a virtual machine on the resource-constrained device, only 16-bit

operands are loaded onto a stack; and

wherein the instructions formed by replacement and transformation

according to (i), (ii), (iii) are directly executable by the virtual machine on

said resource constrained device without any other intermediate stage of

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reconversion or referencing; and

executing said sequence of instructions on said resource-constrained device using said

virtual machine.

Claim 97: (Cancelled)

Claim 99: (Cancelled)

Claim 100: (Cancelled)

Claim 101: (Cancelled)

Claim 106: (Cancelled)

**Claim 109**:

A method for using an application software program including an object-oriented, verifiable, type-safe and pointer-safe sequence of instructions, the method comprising: receiving said software program in a resource-constrained device having a memory, said

instructions comprising operation codes and operands, said instructions previously

converted from at least one class file by a method comprising:

(1) analyzing instructions from said at least one class file to identify (a) plurality of instructions that can be collapsed into a single instruction and (b) instructions including arithmetic operations having 32-bit operands; and

(2) <u>substituting said single instruction for said plurality of instructions that can be</u> <u>collapsed and transforming said 32-bit operands based upon said analyzing by:</u> 5 <u>said instructions comprising</u>

(A) substituting at least one composite instruction for performing an operation on a current object, the execution of said at least one composite instruction, on said resource constrained device, generating a result functionally equivalent to a result generated by operations resulting from sequential execution of two or more other instructions so that said sequential execution of said two or more other instructions is replaced by said execution of said composite instruction in said sequence of instructions executed on

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said resource constrained device. for said plurality of instructions being collapsed, wherein

(i) a first instruction in said plurality of instructions being collapsed is any one of a family of instructions, wherein

(a) each instruction in said family is for a different one of a plurality of data types so that the data type is explicit for each instruction in said family; and

(ii) a second instruction in said plurality of instructions being collapsed is not from said family of instructions; and

(B) transforming 32-bit operands for arithmetic operations such that arithmetic instructions are explicitly defined as using 16-bit operands wherein upon execution of said arithmetic instructions by a virtual machine on the resource-constrained device, only 16-bit operands are loaded onto a stack; and

wherein the instructions formed by substitution and transformation

according to (A), (B) are directly executable by the virtual machine on

said resource constrained device without any other intermediate stage of

reconversion or referencing; and

executing said sequence of instructions on said resource-constrained device.

Claim 113: (Cancelled)

Claim 114: (Cancelled)

Claim 115: (Cancelled)

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Claim 120: (Cancelled)

**Claim 123**:

An apparatus for using an application software program including an object-oriented, verifiable, type-safe and pointer-safe sequence of instructions, the apparatus comprising:

means for receiving said software program in a resource-constrained device having a memory, said instructions comprising operation codes and operands, said sequence of instructions previously converted from at least one class file by a method comprising:

- (A) analyzing instructions from said at least one class file and any associated references to a constant pool and arithmetic operations having 32-bit operands, said conversion; and
- (B) removing said references to the constant pool and transforming said 32-bit operands based upon said analyzing by:
  - (i) transforming at least one reference, of at least one of said instructions, to information in a constant pool to data inlined by inlining directly in at least one additional operand or opcode of said at least one of said instructions so that said at least one reference to information in said constant pool is eliminated because accessing said information in any constant pool is unnecessary for said at least one of said instructions; to said at least one instruction, wherein said at least one additional operand specifies a data type;

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(ii) replacing an operation code of another of said instructions,

which accesses an entry in said constant pool to obtain a data type

that was any one of a plurality of data types, with another

operation code selected from a family of operation codes, wherein

(a) each said another operation code in said family is for a

different one of said plurality of data types so that the data

type is explicit for said each said another operation code in

said family; and

(b) said another operation code represents said family for

said entry in said constant pool and

(iii) transforming 32-bit operands for arithmetic operations such

that arithmetic instructions are explicitly defined as using 16-bit

operands wherein upon execution of said arithmetic instructions by

a virtual machine on the resource-constrained device, only 16-bit

operands are loaded onto a stack; and

wherein the instructions formed by replacement and transformation

according to (i), (ii), (iii) are directly executable by the virtual

machine on said resource constrained device without any other

intermediate stage of reconversion or referencing; and

means for executing said sequence of instructions on said resource-constrained device.

Claim 127: (Cancelled)

Claim 128: (Cancelled)

Claim 129: (Cancelled)

Claim 134: (Cancelled)

**Claim 137**:

An apparatus for using an application software program including an object-oriented, verifiable, type-safe and pointer-safe sequence of instructions, the apparatus comprising:

means for receiving said software program in a resource-constrained device having a memory, said instructions comprising operation codes and operands, said instructions previously converted from at least one class file by a method comprising:

- (1) analyzing instructions from said at least one class file to identify (a) plurality of instructions that can be collapsed into a single instruction and (b) instructions including arithmetic operations having 32-bit operands; and, said conversion
  (2) substituting said single instruction for said plurality of instructions that can be collapsed and transforming said 32-bit operands based upon said analyzing by:

  said instructions
  - (A) substituting at least one composite instruction for performing an operation on a current object, the execution of said at least one composite instruction, on said resource constrained device, generating a result functionally equivalent to a result generated by operations resulting from sequential execution of two or more other instructions so that said sequential execution of said two or more other instructions is replaced by said execution of said composite instruction in said sequence of instructions executed on

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said resource constrained device for said plurality of instructions being collapsed, wherein

(i) a first instruction in said plurality of instructions being collapsed is any one of a family of instructions, wherein

(a) each instruction in said family is for a different

one of a plurality of data types so that the data type is explicit for each instruction in said family; and

(ii) a second instruction in said plurality of instructions

being collapsed is not from said family of instructions; and

(B) transforming 32-bit operands for arithmetic operations such

that arithmetic instructions are explicitly defined as using 16-bit

operands wherein upon execution of said arithmetic instructions by

a virtual machine on the resource-constrained device, only 16-bit

operands are loaded onto a stack; and

wherein the instructions formed by substitution and transformation

according to (A), (B) are directly executable by the virtual machine on

said resource constrained device without any other intermediate stage of
reconversion or referencing; and

means for executing said sequence of instructions on said resource-constrained device.

Claim 141: (Cancelled)

Claim 142: (Cancelled)

Claim 143: (Cancelled)

Claim 148: (Cancelled)

II) In the Specifications: **CROSS REFERENCE TO RELATED APPLICATIONS** (middle, pg. 1)

Amend as follows:

U.S. Patent Application Serial No. 09/243,107, filed February 2, 1999, in the names of inventors Judith E. Schwabe and Joshua Susser, entitled "Zero Overhead Exception Handling", Attorney Docket No. SUN-P3732, commonly assigned herewith, now issued as U.S. Patent Serial No 6,848,111;

U.S. Patent Application Serial No. 09/243,108, filed February 2, 1999, in the names of inventors Judith E. Schwabe and Joshua Susser, entitled "Token-Based Linking", Attorney Docket No. SUN-P3730, commonly assigned herewith, now issued as U.S. Patent Serial No 6,880,155;

# EXAMINER'S STATEMENT OF REASONS FOR ALLOWANCE

3. Claims 59, 62-65, 67-73, 75-77, 80-96, 98, 102-105, 107-112, 116-119, 121-126, 130-133, 135-140, 144-147, 149-150 are allowed.

The following is an examiner's statement of reasons for allowance.

The prior art taken separately or jointly does not suggest or teach the following features.

A method for support of runtime execution by the virtual machine on a resourceconstrained device by transforming program instructions to be executed by the device so to eliminate all references to a constant pool by the runtime virtual machine, the instructions being

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previously converted from a class file and having operands and opcodes being analyzed with associated references thereof to a constant pool; and based on such analysis, the transformation method comprising:

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- (i) replacing an operation code of an instruction that accesses an entry in said constant pool to obtain a data type, with another operation code selected to represent a family for an entry in said constant pool, wherein each said another operation code is for a different one of said plurality of data types, such that the data type is explicit for said each said another operation code;
- (ii) directly inlining an additional operand in an instruction that references said constant pool such that the added operand specifies a data type; as recited in claims 59, 77, 95 and 123;
- (iii) identifying a plurality of collapsible instructions and forming a composite instruction based thereupon, such that a first instruction in said plurality of instructions being collapsed is any one of a family of instructions, wherein each instruction in said family is for a different one of a plurality of data types so that the data type is explicit for each instruction in said family; and a second instruction in said plurality of instructions being collapsed is not from said family of instructions; as recited in claims 69, 87, 109, and 137;
- (iv) for identified arithmetic operation instructions, transforming 32-bit operands for arithmetic operations such that arithmetic instructions are explicitly defined as using 16-bit operands wherein upon execution of said arithmetic instructions by a virtual machine on the resource-constrained device, only 16-bit operands are loaded onto a stack; as recited in claims 59, 69, 77, 87, 95, 109, 123 and 137.

Wilkinson, USPN: 6308317, discloses loading instructions from a CAP file into a resource -constraint Smart Card for execution; parsing class file instructions and readjusting references thereof to a constant pool with replacement of references with their updated values and/or equivalent opcodes; and renumbering the original instructions with new sequence number in the JVM card; but Wilkinson fails to teach or suggest the combined teaching of (i), (ii) and (iv); or (iii) and (iv), as set forth above.

Any comments considered necessary by applicant must be submitted no later than the payment of the issue fee and, to avoid processing delays, should preferably accompany the issue fee. Such submissions should be clearly labeled "Comments on Statement of Reasons for Allowance."

## Conclusion

4. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Tuan A Vu whose telephone number is (272) 272-3735. The examiner can normally be reached on 8AM-4:30PM/Mon-Fri.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Kakali Chaki can be reached on (571)272-3719.

The fax phone number for the organization where this application or proceeding is assigned is (571) 273-3735 ( for non-official correspondence – please consult Examiner before using) or 571-273-8300 ( for official correspondence) or redirected to customer service at 571-272-3609.

Any inquiry of a general nature or relating to the status of this application should be directed to the TC 2100 Group receptionist: 571-272-2100.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see http://pair-direct.uspto.gov. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

VAT July 21, 2006

mace: a

KAKALI CHAKI SUPERVISORY PATENT EXAMINER TECHNOLOGY CENTER 2100